



FORM PTO-1449 U.S. Department of  
Commerce (Rev. 4/92) Patent and Trademark  
Office

INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT

(Use several sheets if necessary)

ATTY. DOCKET NO.	SERIAL NO.
TSM-35	10/787,112

APPLICANT Y. MIMATSU et al.
--------------------------------

FILING DATE February 27, 2004	GROUP 2131
----------------------------------	---------------

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
TD	3,771,137	11-1973	BARNER et al.			
TD	4,025,904	5-1977	ADNEY et al.			
TD	5,408,465	4-1995	GUSELLA et al.			
TD	5,459,857	10-1995	LUDLAM et al.			
TD	5,504,882	4-1996	CHAI et al.			
TD	5,548,712	8-1996	LARSON et al.			
TD	5,680,580	10-1997	BEARDSLEY et al.			
TD	5,680,640	10-1997	OFEK et al.			
TD	5,758,118	5-1998	CHOY et al.			
TD	5,835,954	11-1998	DUYANOVICH et al.			

FOREIGN PATENT DOCUMENTS

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	ABSTRACT	
						YES	NO
TD	JP 9-288547 A	11-1997	Japan			X	
TD	JP 10-283272 A	10-1998	Japan			X	
TD	JP 2002-230246 A	8-2002	Japan			X	
TD	JP 2002-157091 A	5-2002	Japan			X	

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

TD	White Paper; Network Attached Storage In the Data Protection Environment, Presented by Sony Electronics, February 2002.
TD	SCSI-3 Fault Tolerant Controller Configurations Utilizing SCC & New Event Codes, Editor: Steve Sicola, High Availability Study Group, Document No.: X3T10 95-312r3, Rev. 3.0, February 28, 1996.

EXAMINER	/Trang Doan/	DATE CONSIDERED	09/29/2006
----------	--------------	-----------------	------------

EXAMINER: Initial if citation is considered, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<b>FORM PTO-1449</b> U.S. Department of Commerce (Rev. 4/92) Patent and Trademark Office  <b>INFORMATION DISCLOSURE</b> <b>STATEMENT BY APPLICANT</b>  (Use several sheets if necessary)	ATTY. DOCKET NO.	SERIAL NO.
	TSM-35	10/787,112
	APPLICANT Y. MIMATSU et al.	
	FILING DATE February 27, 2004	GROUP 2131

**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
TD	5,870,537	2-1999	KERN et al.			
TD	5,895,485	4-1999	LOECHEL et al.			
TD	5,917,723	6-1999	BINFORD			
TD	5,956,750	9-1999	YAMAMOTO et al.			
TD	5,978,890	11-1999	OZAWA et al.			
TD	6,012,123	1-2000	PECONE et al.			
TD	6,098,129	8-2000	FUKUZAWA et al.			
TD	6,108,748	8-2000	OFEK et al.			
TD	6,173,374	1-2001	HEIL et al.			
TD	6,230,239	5-2001	SAKAKI et al.			
TD	6,240,486	5-2001	OFEK et al.			

**FOREIGN PATENT DOCUMENTS**

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	ABSTRACT	
						YES	NO
TD	JP 2000-293317 A	10-2000	Japan			X	
TD	JP 11-184641 A	7-1999	Japan			X	
TD	JP 10-508967T (abstract only)	9-1998	Japan			X	
TD	JP 2001-067187 A	03-2001	Japan			X	

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**

EXAMINER	/Trang Doan/	DATE CONSIDERED	09/29/2006
----------	--------------	-----------------	------------

EXAMINER: Initial if citation is considered, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

(Form PTO-1449 [6-4])

<b>FORM PTO-1449</b> U.S. Department of Commerce (Rev. 4/92) Patent and Trademark Office	ATTY. DOCKET NO.	SERIAL NO.
	TSM-35	10/787,112
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use several sheets if necessary)	APPLICANT Y. MIMATSU et al.	
	FILING DATE February 27, 2004	GROUP 2131

**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
TD	6,240,494	5-2001	NAGASAWA et al.			
TD	6,247,099	6-2001	SKAZINSKI et al.			
TD	6,247,103	6-2001	KERN et al.			
TD	6,356,977	3-2002	OFEK et al.			
TD	6,446,141	9-2002	NOLAN et al.			
TD	6,446,175	9-2002	WEST et al.			
TD	6,457,139	9-2002	D'ERRICO et al.			
TD	6,490,659	12-2002	MCKEAN et al.			
TD	6,529,976	3-2003	FUKUZAWA et al.			
TD	6,553,408	4-2003	MERRELL et al.			
TD	6,640,278	10-2003	NOLAN et al.			

**FOREIGN PATENT DOCUMENTS**

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	ABSTRACT	
						YES	NO
TD	EP 1 130 514 A2	09-2001	Europe				

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**

EXAMINER	/Trang Doan/	DATE CONSIDERED	09/29/2006
----------	--------------	-----------------	------------

**EXAMINER:** Initial if citation is considered, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

(Form PTO-1449 (6-4))

FORM PTO-1449 U.S. Department of  
Commerce (Rev. 4/92) Patent and Trademark  
Office

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use several sheets if necessary)

ATTY. DOCKET NO.	SERIAL NO.
TSM-35	10/787,112

APPLICANT Y. MIMATSU et al.
--------------------------------

FILING DATE February 27, 2004	GROUP 2131
----------------------------------	---------------

**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
TD	6,640,291	10-2003	FUJIBAYASHI et al.			
TD	6,647,474	11-2003	YANAI et al.			
TD	6,647,476	11-2003	NAGASAWA et al.			
TD	6,654,830	11-2003	TAYLOR et al.			
TD	6,654,831	11-2003	OTTERNESS et al.			
TD	6,675,258	1-2004	BRAMHALL et al.			
TD	6,681,303	1-2004	WATANABE et al.			
TD	6,681,339	1-2004	MCKEAN et al.			
TD	6,708,232	3-2004	OBARA			
TD	6,826,778	11-2004	BOPARDIKAR et al.			
TD	6,883,064	4-2005	YOSHIDA et al.			

**FOREIGN PATENT DOCUMENTS**

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	ABSTRACT	
						YES	NO

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**


EXAMINER /Trang Doan/ DATE CONSIDERED 09/29/2006

EXAMINER: Initial if citation is considered, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

(Form PTO-1449 [6-4])

<b>FORM PTO-1449</b> U.S. Department of Commerce (Rev. 4/92) Patent and Trademark Office		ATTY. DOCKET NO.	SERIAL NO.
		TSM-35	10/787,112
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use several sheets if necessary)		APPLICANT Y. MIMATSU et al.	
		FILING DATE February 27, 2004	GROUP 2131

**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
TD		2001/0050915 A1	12-2001	O'HARE et al.			
TD		2002/0004857 A1	1-2002	ARAKAWA et al.			
TD		2002/0133735 A1	9-2002	MCKEAN et al.			
TD		2002/0156887 A1	10-2002	HASHIMOTO			
TD		2002/0194523 A1	12-2002	ULRICH et al.			
TD		2002/0019920 A1	2-2002	REUTER et al.			
TD		2002/0019922 A1	2-2002	REUTER et al.			
TD		2002/0019923 A1	2-2002	REUTER et al.			
TD		2002/0026558 A1	2-2002	REUTER et al.			
TD		2002/0029326 A1	3-2002	REUTER et al.			
TD		2003/0037071 A1	2-2003	HARRIS et al.			

**FOREIGN PATENT DOCUMENTS**

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	ABSTRACT	
						YES	NO

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**

EXAMINER	/Trang Doan/	DATE CONSIDERED	09/29/2006
----------	--------------	-----------------	------------

EXAMINER: Initial if citation is considered, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

(Form PTO-1449 [6-4])

**FORM PTO-1449 U.S. Department of  
Commerce (Rev. 4/92) Patent and Trademark  
Office**

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use several sheets if necessary)

ATTY. DOCKET NO.	SERIAL NO.
TSM-35	10/787,112

APPLICANT Y. MIMATSU et al.
--------------------------------

FILING DATE February 27, 2004	GROUP 2131
----------------------------------	---------------

**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
TD	2003/0051109 A1	3-2003	COCHRAN			
TD	2003/0056038 A1	3-2003	COCHRAN			
TD	2003/0097607 A1	5-2003	BESSIRE			
TD	2003/0101228 A1	5-2003	BUSSER et al.			
TD	2003/0115432 A1	6-2003	BIESSENER et al.			
TD	2003/0126327 A1	7-2003	PESOLA et al.			
TD	2003/0145168 A1	7-2003	LECRONE et al.			
TD	2003/0145169 A1	7-2003	NAGASAWA et al.			
TD	2003/0158999 A1	8-2003	HAUCK et al.			
TD	2003/0167419 A1	9-2003	YANAI et al.			
TD	2003/0182525 A1	9-2003	O'CONNELL et al.			

**FOREIGN PATENT DOCUMENTS**

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	ABSTRACT	
						YES	NO

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**

EXAMINER	/Trang Doan/	DATE CONSIDERED	09/29/2006
----------	--------------	-----------------	------------

**EXAMINER:** Initial if citation is considered, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

(Form PTO-1449 [6-4])

<b>FORM PTO-1449</b> U.S. Department of Commerce (Rev. 4/92) Patent and Trademark Office  <b>INFORMATION DISCLOSURE</b> <b>STATEMENT BY APPLICANT</b>  (Use several sheets if necessary)	ATTY. DOCKET NO.	SERIAL NO.
	TSM-35	10/787,112
	APPLICANT Y. MIMATSU et al.	
FILING DATE February 27, 2004	GROUP 2131	

**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
TD	2003/0200387 A1	10-2003	URABE et al.			
TD	2003/0204597 A1	10-2003	ARAKAWA et al.			
TD	2003/0212854 A1	11-2003	KITAMURA et al.			
TD	2003/0212860 A1	11-2003	JIANG et al.			
TD	2003/0221077 A1	11-2003	OHNO et al.			
TD	2004/0003022 A1	1-2004	GARRISON et al.			
TD	2004/0049553 A1	3-2004	IWAMURA et al.			
TD	2004/0054850 A1	3-2004	FISK			
TD	2004/0064610 A1	4-2004	FUKUZAWA et al.			
TD	2004/0064641 A1	4-2004	KODAMA			
TD	2004/0123180 A1	6-2004	SOEJIMA et al.			

**FOREIGN PATENT DOCUMENTS**

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	ABSTRACT	
						YES	NO

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**

EXAMINER	/Trang Doan/	DATE CONSIDERED	09/29/2006
----------	--------------	-----------------	------------

**EXAMINER:** Initial if citation is considered, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

(Form PTO-1449 [6-4])

<b>FORM PTO-1449</b> U.S. Department of Commerce (Rev. 4/92) Patent and Trademark Office	ATTY. DOCKET NO.	SERIAL NO.
	<b>TSM-35</b>	<b>10/787,112</b>
	<b>APPLICANT</b> <b>Y. MIMATSU et al.</b>	
	FILING DATE <b>February 27, 2004</b>	GROUP <b>2131</b>

## **U.S. PATENT DOCUMENTS**

## FOREIGN PATENT DOCUMENTS

DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	ABSTRACT	
					YES	NO

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**

**EXAMINER** /Trang Doan/ **DATE CONSIDERED** 09/29/2006

**EXAMINER:** Initial if citation is considered, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

(Form PTO-1449 [6-4])



Sheet 1 of 1

FORM PTO-1449 (REV. 7-80)		U. S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO. TSM-35	SERIAL NO. 10/787,112
LIST OF DOCUMENTS CITED BY APPLICANT (Use several sheets if necessary)				APPLICANT Y. MIMATSU et al	
				FILING DATE February 27, 2004	GROUP 2131

**U. S. PATENT DOCUMENTS**

EXAMINER INITIAL	DOCUMENT	DATE	NAME	CLASS	SUBCLASS	FILING DATE (If Appropriate)
AA						
AB						
AC						
AD						
AE						
AF						
AG						
AH						
AI						
AJ						
AK						

**FOREIGN PATENT DOCUMENTS**

TD	AL	DOCUMENT	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
TD	AL	9709676	8-29-96	WO			<input type="checkbox"/>	<input checked="" type="checkbox"/>
	AM						<input type="checkbox"/>	<input type="checkbox"/>
	AN						<input type="checkbox"/>	<input type="checkbox"/>
	AO						<input type="checkbox"/>	<input type="checkbox"/>
	AP						<input type="checkbox"/>	<input type="checkbox"/>

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)**

EXAMINER	AR							
	AS							
	AT							

/Trang Doan/

DATE CONSIDERED

09/29/2006

\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



Sheet 1 of 1

FORM PTO-1449  
(REV. 7-80)

U. S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.  
TSM-35

SERIAL NO.  
10/787,112

**LIST OF DOCUMENTS CITED BY APPLICANT**  
(Use several sheets if necessary)

APPLICANT  
Y. MIMATSU et al  
FILING DATE  
February 27, 2004

GROUP  
2131

**U. S. PATENT DOCUMENTS**

EXAMINER INITIAL	DOCUMENT	DATE	NAME	CLASS	SUBCLASS	FILING DATE (If Appropriate)
TD	AA 6,219,753	04/17/01	Richardson			
TD	AB 6,484,173	11/19/02	O'Hare et al			
TD	AC 6,523,096	02/18/03	Sanada et al			
TD	AD 6,598,134	07/22/03	Ofek et al			
TD	AE 6,684,310	01/27/04	Anzai et al			
TD	AF 6,745,281	01/01/04	Saegusa			
TD	AG 6,799,255	09/28/04	Blumenau et al			
TD	AH 6,816,948	11/09/04	Kitamura et al			
TD	AI 6,851,020	02/01/05	Matsumoto et al			
TD	AJ 2001/0052 018	12/13/01	Yokokura			
	AK					

**FOREIGN PATENT DOCUMENTS**

	DOCUMENT	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES	NO
AL						<input type="checkbox"/>	<input type="checkbox"/>
AM						<input type="checkbox"/>	<input type="checkbox"/>
AN						<input type="checkbox"/>	<input type="checkbox"/>
AO						<input type="checkbox"/>	<input type="checkbox"/>
AP						<input type="checkbox"/>	<input type="checkbox"/>

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)**

AR		
AS		
AT		

EXAMINER <i>/Trang Doan/</i>	DATE CONSIDERED <i>09/29/2006</i>
---------------------------------	--------------------------------------

\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



DEC 06 2005

SHEET 1 OF 1

<p style="text-align: center;"><b>U.S. Patent and Trademark Office</b></p> <p style="text-align: center;"><b>FORM PTO-146</b></p> <p style="text-align: center;">U.S. Department of Commerce (Rev. 4/92) Patent and Trademark Office</p> <p style="text-align: center;"><b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b></p> <p style="text-align: center;">(Use several sheets if necessary)</p>	<p>ATTY. DOCKET NO.</p> <p><b>TSM-35</b></p>	<p>SERIAL NO.</p> <p><b>10/787,112</b></p>
<p>APPLICANT</p> <p><b>Yasuyuki MIMATSU et al.</b></p>		
<p>FILING DATE</p> <p><b>February 27, 2004</b></p>		<p>GROUP</p> <p><b>2131</b></p>

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
TD	5,155,845	10-1992	Bael et al.			
TD	2004/0111485 A1	6-2004	Mimatsu et al.			

## **FOREIGN PATENT DOCUMENTS**

	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	ABSTRACT	
						YES	NO

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**

OTHER DOCUMENTS	

**EXAMINER** /Trang Doan/ **DATE CONSIDERED** 09/29/2006

**EXAMINER:** Initial if citation is considered, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

(Form PTO-1449 [6-4])